

*Office of Inspector General  
U.S. Department of Transportation*



*Strategic Plan 1999-2004*

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## ***STRATEGIC PLAN 1999-2004***

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# ***OIG STRATEGIC PLAN***

## ***1999-2004***



### ***I. INTRODUCTION***

The Office of Inspector General (OIG), Department of Transportation (DOT), Strategic Plan details our future plans in support of the Secretary's Strategic Plan. Perhaps more than any organization in DOT, the OIG is uniquely situated to be a proactive force that can effect constructive change. Our goal is to identify and eliminate problems early when it is practical to do so, rather than limit ourselves solely to reacting to allegations of waste, fraud, and abuse. We remain committed, however, to our statutory mandate of detecting and preventing fraud, waste, and abuse, and promoting effective and efficient government. The product of our office is the in-depth analysis of data, processes and systems which culminate in audit and investigative reports--a powerful commodity. If we are to succeed in being proactive --taking the lead on issues of concern to the vast and diverse transportation community--we must reach out to Members of Congress, department officials, industry, associations, interest groups, and the public. This plan, therefore, serves as an important instrument in our ongoing efforts to promote the most effective and efficient operation of the DOT.

The following sections include: (1) OIG's mission statement and statutory responsibilities; (2) OIG's (and DOT's) strategic goals, corporate management strategies, and issue areas we plan on addressing in the next 5 years; (3) internal and external factors which will affect the OIG's achievement of its strategic goals (e.g., organization, staffing, resources, secretarial/congressional priorities, etc.); and (4) discussion of how we will measure and evaluate the OIG's performance in the context of our annual performance plans and reports. In the annex, we also include the 10 top-priority management issues that need to be addressed by DOT and a listing of the OIG's performance measures.

## **II. *OIG MISSION AND STATUTORY RESPONSIBILITIES***

### ***MISSION STATEMENT***

The Inspector General is committed to fulfilling its statutory mission and assisting Members of Congress, the Secretary, and senior department officials in achieving a safe, efficient, and effective transportation system that meets vital national interests and enhances the quality of life of the American people, today and into the future.

### ***STATUTORY RESPONSIBILITIES***

The Inspector General Act of 1978, as amended (Inspector General Act, P.L. 95-452), established the OIG as an independent and objective organization within DOT. As prescribed by the Inspector General Act, OIG will:

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| <ul style="list-style-type: none"><li>• <i>Maintain independent and objective organizations to conduct and supervise audits and investigations relating to the programs and operations of DOT;</i></li><li>• <i>Recommend policies for activities to promote economy, efficiency, and effectiveness in administration of departmental programs;</i></li><li>• <i>Take appropriate actions to prevent and detect fraud, waste, and abuse in the Department's programs and operations;</i></li><li>• <i>Keep the Congress and Secretary fully informed about problems and deficiencies and the necessity for and progress of corrective action;</i></li></ul> | <ul style="list-style-type: none"><li>• <i>Receive, and as appropriate, investigate complaints from any person or entity, including Congress;</i></li><li>• <i>Report violations of law to the U.S. Attorney General;</i></li><li>• <i>Notify the Congress and Secretary of serious or flagrant problems in DOT or its programs;</i></li><li>• <i>Review existing and proposed legislation and regulations;</i></li><li>• <i>Protect the identity of whistleblowers; and</i></li><li>• <i>Prepare and submit semiannual reports to the Congress and Secretary.</i></li></ul> |
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OIG also has significant responsibilities under the Federal Financial Management Improvement Act of 1996, Government Management Reform Act of 1994, Chief Financial Officers Act of 1990, Federal Managers Financial Integrity Act of 1982, and the Government Performance and Results Act of 1993 (GPRA). OIG will fulfill these responsibilities by completing required audits of DOT's financial statements, assessing the adequacy of internal control systems, and identifying opportunities to achieve financial benefits. When pertinent to the conduct of ongoing projects, OIG will also evaluate departmental performance measures to determine their appropriateness for measuring progress toward DOT's stated goals.

### **III. STRATEGIC GOALS AND CORPORATE MANAGEMENT STRATEGIES**

DOT is investing record levels of funding to improve the infrastructure and safety of America's transportation system. For example, the passage of the Transportation Equity Act for the 21<sup>st</sup> Century (TEA-21) ensures minimum authorizations for the highway and transit programs totals of just over \$217 billion for FY's 1998-2003. Using the Departments' strategic goals and corporate management strategies, outlined in the DOT Strategic Plan as our framework, OIG will work to find solutions to complex transportation issues, identify actions which may enhance transportation safety in all modes, make recommendations aimed at improving the efficiency and effectiveness of transportation programs, and assist the Secretary and Members of Congress in oversight of the Department. In addition, the Inspector General will lend his personal support and commitment to the Secretary's ONE DOT corporate management strategy by serving as the ONE DOT "champion" for DOT's Region 2. Following are some of the issue areas we anticipate addressing over the next 5 years.

<i><b>DOT Strategic Goal #1</b></i>
<i><b>Safety:</b> "Promote the public health and safety by working toward the elimination of transportation-related deaths, injuries, and property damage."</i>

**OIG Objective.** To assist DOT in achieving this strategic goal, OIG's highest priority will be the oversight of safety programs in all modes of transportation. In doing so, OIG will:

- **Aviation.** Review the Federal Aviation Administration's (FAA) progress in implementing safety inspection programs with emphasis on those programs undergoing significant reengineering. Continue to emphasize FAA's Air Traffic Control Modernization, including: (i) automation, communication, navigation, and surveillance systems; (ii) acquisition management system; and (iii) personnel management system.
- **Surface Transportation.** Review the effectiveness of major programs in the Federal Highway Administration (FHWA), National Highway Traffic Safety Administration, Federal Railroad Administration (FRA), Federal Transit Administration (FTA) and Research and Special Programs Administration (RSPA) that address surface transportation safety.
- **Maritime.** Review United States Coast Guard's (USCG) efforts to improve the safety of recreational and commercial boating activities.
- **Cross-Modal.** Evaluate Operating Administration's (OA) plans that develop countermeasures addressing human factors contributing to accidents (i.e. driver

fatigue, alcohol and drugs, and medical conditions). Review OA's plans regarding introduction of new equipment and technologies to evaluate potential human factors problems (i.e. new radar technology for air traffic controllers).

- Investigations. Make criminal investigations of hazardous material (HAZMAT) transportation, motor carrier safety, and suspected unapproved parts an OIG priority.

<b><i>DOT Strategic Goal #2</i></b>
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<b><i>Mobility:</i></b> “Shape America’s future by ensuring a transportation system that is accessible, integrated, efficient, and offers flexibility of choices.”
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**OIG Objective.** To assist DOT in achieving this goal, OIG will provide oversight of transportation mobility programs and operations. In doing so, OIG will:

- Aviation. Evaluate FAA’s human resource management to ensure adequately trained personnel are available to operate the National Airspace System.
- Surface Transportation. Review programs which are geared towards increasing the mobility of people and transportation of goods (e.g., FHWA’s Intelligent Transportation System activities, FTA’s Americans with Disabilities program, and FHWA’s and FTA’s funded major transit projects.
- Maritime. Maintain oversight of USCG efforts to provide maximum mobility on the nation’s waterways, including the removal of abandoned vessels and barges.
- Cross-Modal. Review DOT’s policies on and implementation of Global Positioning System technologies for air, water, and land navigation.

<b><i>DOT Strategic Goal #3</i></b>
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<b><i>Economic Growth and Trade:</i></b> “Advance America’s economic growth and competitiveness domestically and internationally through efficient and flexible transportation.”
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**OIG Objective.** To assist DOT in achieving its strategic goal, OIG will provide oversight of DOT’s economic growth and trade programs and operations. In doing so, OIG will:

- Aviation. Examine FAA’s efforts for ensuring that Airport Improvement Program grant funds promote the development of an airport system to meet the nation’s aviation needs.

- Surface Transportation. Examine FHWA, FRA, and FTA use and deployment of advanced technologies and designs. Conduct annual assessment of Amtrak's financial condition and requirements based on each year's strategic business and capital plans.
- Maritime. Review DOT's efforts to improve the accessibility of U.S. ports to mega ships.
- Cross-Modal. Review the complicated technical issues associated with computer network infrastructures and their vulnerability to unauthorized access and computer-related frauds. Develop an approach to assess the reasonableness of significant cost increases related to software development and acquisitions.
- Investigations. Focus investigative resources to procurement, grant, and disadvantaged business enterprise fraud.

<b><i>DOT Strategic Goal #4</i></b>
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<b><i>Human and Natural Environment:</i></b> <i>"Protect and enhance communities and the natural environment affected by transportation."</i>
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**OIG Objective.** To assist DOT in achieving this strategic goal, OIG will provide oversight of Federal transportation actions as they relate to the protection of the natural environment and community life. In doing so, OIG will:

- Aviation. Evaluate FAA's programs addressing environmental issues around airports.
- Surface Transportation. Review actions taken to improve the environment.
- Maritime. Review the propriety of Superfund claims submitted by the USCG to the Environmental Protection Agency as part of its active participation in ensuring U.S. waters are clean of hazardous substances and pollution.
- Cross-Modal. Review actions taken by FAA, FHWA, FRA, and USCG in cleaning up contaminated sites in compliance with environmental standards, laws, and regulations. Review actions taken by FAA, FHWA, FRA, RSPA, and USCG to minimize the risk of transporting HAZMAT on the nation's airways, highways, railroads, pipelines, and waterways.
- Investigations. Continue to conduct criminal investigations in the priority investigative area of illegal HAZMAT transportation

<b><i>DOT Strategic Goal #5</i></b>
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<b><i>National Security:</i></b> “Advance the nation’s vital security interests in support of national strategies such as the National Security Strategy and National Drug Control Strategy by ensuring that the transportation system is secure and available for defense mobility and that our borders are safe from illegal intrusion.”
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**OIG Objective.** To assist DOT in achieving this strategic goal, OIG will provide oversight of DOT programs and operations to reduce national security vulnerability and maintain readiness to the threat of terrorism. In doing so, OIG will:

- **Aviation.** Continue to evaluate FAA’s progress in developing and implementing programs and systems to secure airports, passengers, and aircraft from terrorist activities and progress in taking security actions in response to the White House Commission on Aviation Safety and Security.
- **Surface Transportation.** Review measures taken by the Department and OAs to identify and address potential vulnerabilities from intentional harm to the Nation’s surface transportation infrastructure.
- **Maritime.** Review the effectiveness of USCG’s participation in and contributions to the National Drug Control Strategy.

<b><i>DOT Corporate Management Strategies</i></b>
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| <ul style="list-style-type: none"><li>• <b><i>ONE DOT</i></b> – work better together to build a transportation system that is international in reach, intermodal in form, intelligent in character, and inclusive in nature.</li><li>• <b><i>Human Resources</i></b> - foster a diverse, highly skilled workforce capable of meeting or exceeding our strategic goals with efficiency, innovation, and a constant focus on better serving our customers now and into the 21st Century.</li><li>• <b><i>Customer Service</i></b> – deliver the results customers want through a government that works better, is more practical, and costs less.</li><li>• <b><i>Research and Technology</i></b> – advance transportation research and technology to shape a fast, safe, efficient, accessible, and convenient transportation system for the 21st Century through strategic planning, world class research, better exchange of information on useful technological innovations, partnerships, and research education and training.</li></ul> |
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***DOT Corporate Management Strategies (continued)***

- ***Information Technology*** - improve mission performance, data sharing, system integrity, communications, and productivity through deployment of information systems which are secure, reliable, compatible, and cost effective now and beyond the year 2000.
- ***Resource and Business Process*** – foster innovative and sound business practices as stewards of the public’s resources in our quest for a fast, safe, efficient, and convenient transportation system.

**OIG Actions.** In support of the Secretary’s six corporate management strategies, OIG will:

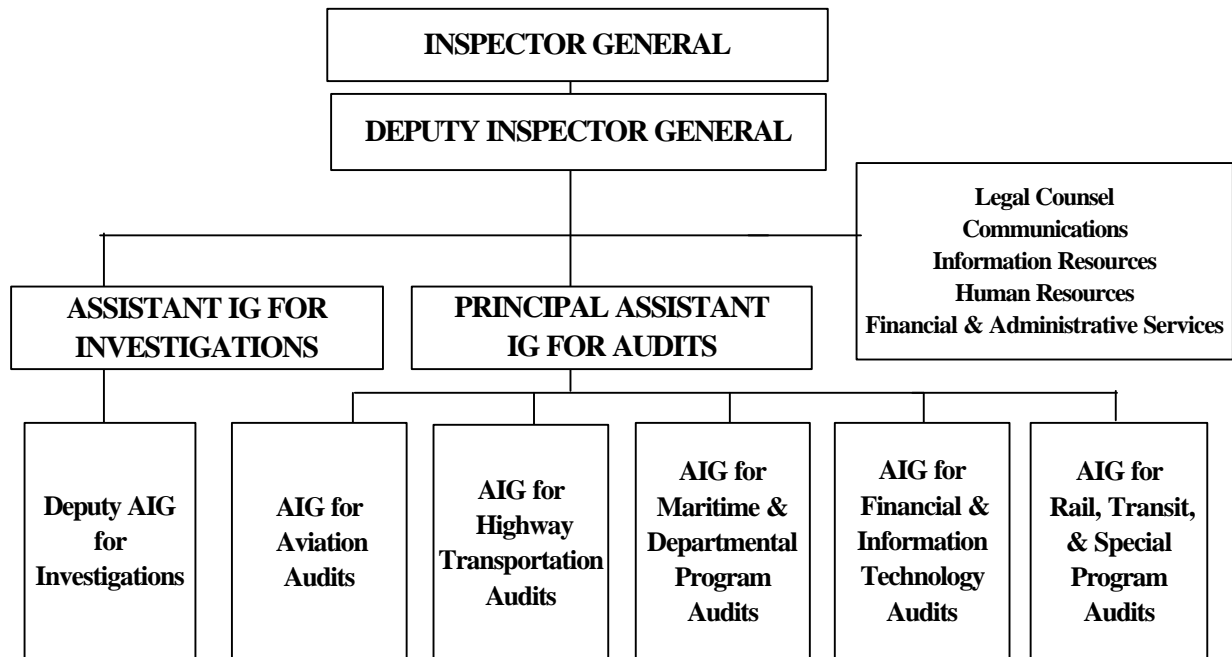
- Audit departmental financial statements and review internal controls to ensure accurate and proper accounting of the taxpayers’ dollars.
- Monitor Year 2000 computer problems, address the fixing and testing of computer hardware and software, and recommend solutions for systems that are not Year 2000 compliant.
- Continue to review the Department’s computer security program which is intended to prevent unauthorized intrusions, generally referred to as “hackers.”
- Evaluate departmental administrative support systems to ensure services are delivered cost effectively and in a manner that is beneficial to both the individual OAs and the Department as a whole.
- Work closely with the Assistant Secretary for Budget and Programs and OAs to maintain, review, and update a comprehensive five-year program evaluation plan for the Department. The first review will be a joint RSPA/OIG program evaluation of the DOT-wide program for HAZMAT transportation.
- Continue our DOT-wide outreach and coordination effort regarding its HAZMAT Transportation criminal investigation program.
- Organize a fraud awareness briefing for departmental employees.
- Participate in training sessions for: (i) FAA aviation safety inspectors relative to the suspected unapproved parts investigative program; and (ii) FHWA Office of Motor Carriers inspectors regarding OIG’s Motor Carrier Safety investigative program.

In addition to our efforts in support of the strategic goals and management strategies, OIG has identified 10 top-priority management issues which must be addressed by DOT's managers. These issues, which provide an added basis for focusing the OIG's audit and investigative resources over the next 5 years, are described in ***Annex 1***.

#### ***IV. FACTORS AFFECTING ACHIEVEMENT OF STRATEGIC GOALS***

##### ***OIG ORGANIZATION AND STAFFING***

In 1997, we made major changes in the way the OIG is organized and how it operates. We designed an organization that concentrates the talents of our senior executives on the OIG's core statutory responsibilities, which are to perform audits and investigations. Moreover, we assigned our most senior auditors and evaluators to key subject areas. These assignments recognize that some subjects are mode-specific, while others are cross-modal in nature. As illustrated by the following diagram, our new organizational structure will allow us to develop and maintain a high level of expertise to deal with complex transportation issues and programs.



As of FY 1999, the OIG organization is supported by 442 full-time equivalent (FTE) positions. These positions are dispersed among the following organizational units: Inspector General Immediate Office, Office of Principal Assistant Inspector General for Audits, Office of Assistant Inspector General for Investigations, Office of Legal Counsel, Communications Office, and Administrative Support offices. Over the next several years, we will fine tune the OIG structure.

##### ***EXTERNAL FACTORS AND CONSTRAINTS***

There are a number of external factors that will influence our ability to achieve the DOT strategic goals and corporate management strategies. Some of these include:

(1) funding levels;<sup>1</sup> (2) changing congressional and departmental priorities; and (3) the recruitment and retention of personnel with the appropriate expertise (e.g., auditors, evaluators, investigators, computer specialists, economists, and engineers). Moreover, much of our work is tied to current issues or program areas (as well as requests from senior DOT officials, Congress, transportation industry, and the public). As such, these factors make it difficult to project the OIG's audit or investigation programs 1-2 years in the future--especially to the level of citing specific audits, investigations, evaluations, congressional briefings, etc. The OIG's planning, therefore, must remain a "dynamic" process, focusing not only on our statutory requirements, but also the Secretary's strategic goals and corporate management strategies, congressional interest areas, and major dollar programs of the Department, with the flexibility and discretion to redirect resources--when and where needed--to be truly timely, relevant, and effective.

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<sup>1</sup> The OIG's FY 1998 budget is \$41.941 million. Our budget request for FY 1999 is \$42.491, which will increase the OIG's staffing by two positions (i.e., total of 442 FTEs).

## **V. MEASUREMENT AND EVALUATION**

### ***PERFORMANCE MEASURES***

To assess the outcome and effectiveness of OIG performance in terms of meeting our statutory responsibilities, we have adopted the performance measures developed by the President's Council on Integrity and Efficiency (PCIE) and the Executive Council on Integrity and Efficiency (ECIE). In addition to the PCIE performance measures, we expanded the Advisory Functions measure to track Freedom of Information Act requests, Congressional and other requests for information, proactive initiatives, and Congressional testimony provided. We have also added a measure to track our annual performance agreement tasks and activities in support of DOT's five strategic goals and six corporate management strategies. The focus of these performance measures, which are contained in OIG budget documents as well as the Semiannual Report to the Congress, has been on quantitative results, such as the number of audit reports and recommendations, questioned and unsupported costs, funds to be put to better use, indictments, convictions, fines, court ordered restitutions/civil judgments, and Federal recoveries. *Annex 2* includes a list of these measures which will serve as a basis for our annual performance reports, starting in FY 2000.

### ***PERFORMANCE DATA***

DOT programs maintain extensive databases to track inputs, activities, outputs, and outcomes. OIG will be working with the Office of the Secretary of Transportation, Operating Administrations, and the Bureau of Transportation Statistics in selectively assessing these databases and associated performance data. As noted in the DOT FY 1999 Performance Plan, OIG plans to selectively verify and validate performance measurement data each year. When pertinent to the conduct of ongoing projects, OIG will also assess performance measures to determine their appropriateness for measuring progress toward stated goals. These assessments may lead to changes in the goals, improvements to or additions of data collection systems, or both.

Regarding our own performance data, the OIG's Management Information System (MIS) contains substantial information on our audit and investigative efforts (past and present). The MIS consists of various sub-systems covering each OIG program area. For example, the audit sub-system is used for tracking such data as the number of reports, number of recommendations issued and resolved, and the amount of questioned and unsupported costs. Similarly, the investigative sub-system is used to track the number of hotline complaints, indictments, and convictions, and amount of fines and Federal recoveries. Much of this data is later incorporated into the OIG's Semiannual Report to Congress and annual budget submissions.

Data for the activities listed under the Advisory Function performance measure are collected by various small reporting systems within the Office of Legal Counsel and the Office of Communications. Data regarding OIG's Performance Agreement tasks are tracked through DOT's Performance Agreement Tracking System.

### ***PROGRAM EVALUATIONS***

We are working closely with the Assistant Secretary for Budget and Programs and the Operating Administrations to develop a comprehensive 5-year program evaluation plan for the Department. This plan will be part of DOT's FY 2000 Performance Plan. The program evaluation plan will require departmental organizations to review programs on their own, or in conjunction with OIG and the Assistant Secretary for Budget and Programs. Beyond these efforts, we will independently conduct program evaluations throughout the Department to assess contributions made by specific DOT operations and programs. Moreover, we will work with the Assistant Secretary for Budget and Programs in developing a comprehensive evaluation inventory of DOT programs and will assist in reviewing the adequacy of program evaluation objectives and methodologies.

With respect to evaluating our own programs, we established an Office of Quality Assurance Reviews (QAR) and Internal Affairs in 1996. A key responsibility of this office is to conduct periodic reviews of all OIG offices to: (1) determine compliance with applicable laws, policies and procedures, and standards; (2) evaluate the adequacy of internal quality control systems; and (3) make recommendations for improvement, when appropriate. The QARs are designed to ensure that internal operations and functions are performed objectively and in an efficient and effective manner. All OIG offices are subject to QARs within a 24- to 36-month cycle.

***10 TOP-PRIORITY MANAGEMENT ISSUES******1. Aviation Safety***

DOT needs to improve the safety of air transportation to reduce the number of accidents, fatalities, and associated economic costs. The aviation industry expects continued increases in air traffic--a result of increased demand--and expects closer spacing between aircraft due to more precise, satellite-based tracking capabilities. In December 1997, the National Civil Aviation Review Commission reported that, although the commercial aviation accident rate is low, it has shown virtually no improvement over the past 30 years. Therefore, as the number of flights increase, the number of accidents is statistically likely to rise in the absence of action by DOT and the aviation industry. FAA has recognized this risk and has adopted a focused safety agenda to bring about a five-fold reduction in fatal accidents over the next decade. In doing so, FAA will concentrate its resources on the most prevalent causes of aircraft accidents. The transportation of dangerous goods (HAZMAT) is also an important focus of FAA's safety agenda.

***2. Surface Transportation Safety***

The Department must marshal its resources to dramatically improve the safety of surface transportation, where automobile and truck accidents claim 42,000 lives annually. In addition to highway safety, DOT Operating Administrations oversee surface transportation safety in: railroads, commuter rail transit, navigable waters, and pipelines. HAZMAT issues are also of great concern due to the potential threat of such materials to the natural environment and public health. All Operating Administrations within the Department are focused on reducing the number of transportation accidents, fatalities, and associated economic costs.

***3. Year 2000 Computer Issues***

The "Year 2000" issue may lead to computer-system failures throughout the Federal government. Within DOT, FAA's plan to resolve Year 2000 computer issues affecting air traffic systems has prompted particular concern. The Secretary of Transportation and Operating Administrators are clearly focused on identifying real Year 2000 problems, making preventative system changes, and validating the effectiveness of those changes in a timely way.

#### **4. *Air Traffic Control Modernization***

FAA is engaged in a multibillion-dollar, mission-critical capital investment program to modernize its aging air traffic control system. Begun in 1981, this effort involves the acquisition of a vast network of automated data processing, navigation, communications, and surveillance equipment. The program has experienced cost overruns, schedule delays, and shortfalls in performance. FAA recognizes and acknowledges the problems of the past and is addressing them with a new approach to major systems acquisitions.

#### **5. *FAA Funding and Cost Accounting***

Adequately funding FAA is a critical issue facing DOT and the Congress. Recognizing the seriousness of FAA's long-term financing problems, Congress directed that, among other things, an independent assessment be made of FAA's budgetary requirements. The National Civil Aviation Review Commission was created to analyze FAA's budgetary requirements through FY 2002, including ways to fund the needs of the aviation system. FAA has contracted for development and installation of a cost-accounting system. This is clearly a significant step forward. FAA also has made improvements in its financial accounting and reporting systems, but more needs to be done to obtain an "unqualified" opinion on its financial statements.

#### **6. *Amtrak Financial Viability***

In 1971, Congress created the National Passenger Railroad Corporation (Amtrak) to provide modern, efficient intercity rail service. Since its creation, it has been the shared goal of Congress and Amtrak for the service to operate without Federal operating assistance. However, Amtrak has continued to rely heavily on an annual Federal operating grant. Amtrak's current plans are to eliminate the need for this assistance by FY 2002, as it is uncertain how much longer, and to what extent, Congress is willing to provide operating assistance. OIG has been directed by Congress to oversee an independent assessment of Amtrak's financial needs through FY 2002. The review will assess Amtrak's financial condition, plans for improving revenues and reducing costs, and the likelihood that Amtrak will achieve its financial goals.

#### **7. *Infrastructure Needs***

After several generations of hard use and--all too frequently--neglect, replacement of transportation infrastructure is crucial to U.S. economic viability and quality of life. So too is the construction of transportation projects triggered by new needs resulting



from economic and population changes. The Transportation Equity Act for the 21<sup>st</sup> Century (TEA-21) combines the continuation and improvement of current programs with new initiatives. Under TEA-21 the minimum authorizations for the highway and transit programs totals just over \$217 billion for FY's 1998-2003, a record level of investment. Experience in the field regarding ongoing or completed projects can be instructive as similar projects are undertaken nationwide, to allow sharing of innovative and cost-effective techniques and avoidance of errors that might otherwise be repeated.

## **8. *Transportation Security***

Protecting the security of the traveling public is among DOT's most challenging tasks. The domestic aviation security system remains susceptible to acts of terrorism. Although OIG and GAO audits have emphasized aviation security, all modes of transportation are similarly vulnerable. The Secretary of Transportation has repeatedly stated his support for increased security in all transportation modes. To that end, the Secretary recently requested a joint inspection by OIG and FAA of compliance with air cargo regulations. The initial phase of the joint inspections has already yielded improvements in aviation security.

## **9. *Financial Accounting as Related to the CFO Act***

DOT has made significant progress in correcting internal weaknesses in financial accounting and reporting systems. Unfortunately, some needed changes are time-consuming and will be incomplete until FY 1999. As a result, it is unlikely DOT will be able to achieve an unqualified opinion on its financial statements before the end of FY 1999. Accounting and reporting problems hinder the Department's ability to ensure proper use of Federal funds and to present reliable financial statements on them, affecting virtually all programs and their administration.

## **10. *DOT Compliance with GPRA***

A challenge facing the Department is implementation of its Strategic Plan and its corollary--the development and use of performance measures by which progress toward meeting the plan's goals can be measured. Agreeing upon the measures is likely to require considerable discussion and will not be free from controversy. Many of DOT's outcomes such as improved safety, reduction in fatalities and injuries, and well-maintained highways depend in large part on actions taken by third parties including States and various components of the transportation industry. As such, the performance measures will gauge the success of DOT as well as reflect upon the performance of organizations outside the Department.

***OIG PERFORMANCE MEASURES***

***1. Statistics as Defined by the Inspector General Act of 1978 and Related Performance Information***

<i>Audit Results (Dollars in Millions)</i>
<ul style="list-style-type: none"><li><i>Costs Questioned/Funds to be Put to Better Use</i></li></ul>
<ul style="list-style-type: none"><li><i>Management Decisions to Seek Recoveries</i></li></ul>
<ul style="list-style-type: none"><li><i>CFO Audits Adjustments</i></li></ul>

<i>Investigative Results (Dollars in Millions)</i>
<ul style="list-style-type: none"><li><i>Indictments</i></li></ul>
<ul style="list-style-type: none"><li><i>Convictions</i></li></ul>
<ul style="list-style-type: none"><li><i>Fines</i></li></ul>
<ul style="list-style-type: none"><li><i>Court Ordered Restitutions/Civil Judgments</i></li></ul>
<ul style="list-style-type: none"><li><i>Recoveries</i></li></ul>
<ul style="list-style-type: none"><li><i>Years Sentenced</i></li></ul>
<ul style="list-style-type: none"><li><i>Years Probation</i></li></ul>
<ul style="list-style-type: none"><li><i>Debarments and Other Administrative Actions</i></li></ul>

***2. OIG Non-Monetary Program Improvements Issued to and Accepted by Management***

<i>Non-Monetary Program Improvements</i>
<ul style="list-style-type: none"><li><i>Recommendations Issued</i></li></ul>
<ul style="list-style-type: none"><li><i>Recommendations Resolved</i></li></ul>

**3. *OIG Advisory Functions***

<i>Advisory Functions</i>
• <i>Proactive Functions Completed (PCIE projects, Training DOT employees)</i>
• <i>Congressional Testimony</i>
• <i>Inquiries Received</i>
• <i>Inquiries Completed</i>
• <i>FOIA Requests Received</i>
• <i>FOIA Requests Completed</i>
• <i>Legislation Reviewed</i>
• <i>Regulations Reviewed</i>

**4. *Number of Hotline Complaints Processed***

<i>Hotline Results</i>
• <i>Hotline Complaints Received</i>
• <i>Reviewed by OIG</i>
• <i>Referred to Operating Administrations or Other Agencies</i>

**5. *Performance Agreement Tasks***

<i>Performance Agreement Results</i>
• <i>Number of Performance Agreement Tasks</i>
• <i>Number of Tasks in Process</i>
• <i>Number of Tasks Completed</i>